

# Mandatory AES



## Mandatory Implementation Plan

- 3 Phase Process:
  - January 2003 - Raw and rough cut diamonds
  - June 2003 - USML and CCL shipments which require an SED
  - 2004 - All other export shipments



## Phase I – January 2003

Mandatory AES for:

- Re-exports of raw or rough cut diamonds subject to export control
- HS Numbers 7102.10, 7102.21 and 7102.31
- Internal Transaction Number (ITN) required on the commercial documentation



## Phase II – June 2003

Mandatory AES for:

- Exports of items on the Commerce Control List (CCL)
- Exports of items on the United States Munitions List (USML)



## AES Requirements for CCL items

- BIS License Codes Requiring the ECCN
  - C30 – Licenses
  - C31 - Special Comprehensive License (SCL)
  - C32 - No License Required (NLR) covered by entries on the CCL
  - C35 - Limited Value Shipments (LVS)
  - C36 - Shipments to B Countries (GBS)
  - C37 - Civil End Users (CIV)



## AES Requirements for CCL items

- ECCN Format = NANNN
- Must be a valid ECCN
- Incorrect Format or ECCN will generate a fatal error



## AES Requirements for USML Items

- 1 New Data Record for USML items
- 8 New Data Elements for USML items
- 2 New License Codes for USML items
- 3 New Appendices for USML items



## USML Data Elements

- **8 New Data Elements**
  - **ODTC ITAR Exemption Number**
  - **ODTC Registration Number**
  - **ODTC Significant Military Equipment Indicator**
  - **ODTC Eligible Party Certification Indicator**
  - **ODTC USML Category Code**
  - **ODTC Unit of Measure**
  - **ODTC Quantity**
  - **ODTC License Line Number (Future)**





## New AES Data Elements

- ITAR Exemption Number  
Exempts the shipment from the requirements for a license or written authorization from ODTC.  
Example: 123.17E      Refer to Appendix O
- Registration Number  
Assigned by ODTC authorizing you to export a particular item. The Registration Number must be active.  
Example: M-1234 or M12345  
Codes include: M, F, G, B



## New AES Data Elements

- Significant Military Equipment Indicator  
Yes/No indicator.  
Refer to ODTC Regulations 22 CFR 120.7
- Eligible Party Certification Indicator  
A two part process:
  1. Self certification by USPPI for the exemption.  
Refer to ODTC 123.22c
  2. Self certification by USPPI as an eligible party.  
Refer to ODTC Regulations 22 CFR 120.1c



## New AES Data Elements

- USML Category Code  
A means of classifying your export shipment  
Acceptable Values 01-18 and 20-21  
Refer to Appendix L
- USML Unit of Measure  
Refers to the ODTTC unit of measure of the  
article being exported. Refer to Appendix W
- USML Quantity  
Refers to the total number of units reported as  
the unit of measure.
- License Line Number- Reserved for future use



## Foreign Military Sales

- Must use Export Information Code “FS” Foreign Military Sales
- If “FS” is not present, AES will generate a fatal error
- Must use License Code S94
- Acceptable license number format “A(AN)-A-AAA”
- If license number formatted differently, AES will generate a fatal error



## State Department Requirements For USML Shipments

- New Filing Deadlines:

Truck shipments - 8 hours prior to departure

Air shipments - 8 hours prior to departure

Sea shipments - 24 hours prior to departure

Rail shipments - 24 hours prior to departure



## State Department Requirements for USML Shipments

- Use of XTNs and ITNs as the AES Exemption Statement
  - XTNs (External Transaction Numbers) may be used until ITNs become practicable
  - ITNs (Internal Transaction Number) will be required in the future for all USML shipments – April 2004



## USML Reporting Reference

License Number	– Req. for 5, 61, 73, 85, 94
Exemption Number	– Req. for Agreements and Exemptions
Registration Number	– Required for All
SME Indicator	– Required for All
Eligible Party Indicator	– Required for Exemptions
Category Code	– Required for All
Unit of Measure	– Required for All
Quantity	– Required for All



## Additional AES Changes

- Removal of AES Filing Option 3
- Data Entry Center (DEC) Responsibilities
- USPPI Full Address Information Required For Every Shipment





## Phase III – 2004

Mandatory AES for:

- Exports of all other shipments
  - Public Law 107-228 - Security Assistance Act of 2002
  - Elimination of Data Entry Centers



## For More Information

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